



PTO/SB/21 (modified)
Approved for use through xx/xx/xx, OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM (to be used for all correspondence during pendency of filed application)	Application Number	09/240,919	RECEIVED	
	Filing Date	January 29, 1999	JUN 07 1999	
	First Named Inventor	Alex E. Henderson	Group 2700	
	Group Art Unit Number	2731	RECEIVED	
	Examiner Name	Not Yet Known	APR 23 1999	
Total Number of Pages in This Submission	7**	Attorney Docket Number	3625	RECEIVED

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Check Enclosed	<input type="checkbox"/> Issue Fee Transmittal
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<input type="checkbox"/> Response to Notice to File Missing Parts	<input type="checkbox"/> Formal Drawing(s): [] Sheet(s) of Figure(s) []
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<input type="checkbox"/> Declaration	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input checked="" type="checkbox"/> Small Entity Statement	<input type="checkbox"/> Certified Copy of Priority Document(s)
<input checked="" type="checkbox"/> Information Disclosure Statement (IDS)	<input type="checkbox"/> After Allowance Communication to Group
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REMARKS: ** "Total Number of Pages in this Submission" does not include cited references.

SIGNATURE OF ATTORNEY OR AGENT			
Signature:			
Attorney/Reg. No.:	Trinidad Arriola-Kern/Reg. No. 44,012	Dated:	4/8/99
CERTIFICATE OF MAILING			
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.			
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PTO/SB/17 (6-95)(modified)
Approved for use through 11/30/96, OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified) Rev. 10/95	Department of Commerce Patent and Trademark Office	Complete if Known	
		Application Number	09/240,919
		Filing Date	January 29, 1999
		First Named Inventor	Alex E. Henderson
		Group Art Unit	2731
FEE TRANSMITTAL		Examiner Name	Not Yet Known
TOTAL AMOUNT OF PAYMENT		Attorney Docket Number	3625
Subtotal (1) + Subtotal (2) + Subtotal (3) =		APR 15 1999	
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METHOD OF PAYMENT	FEE CALCULATION (continued)																																																																		
1. The Commissioner is hereby authorized to:	3. ADDITIONAL FEES																																																																		
<input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account.	<table border="1"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th></tr></thead><tbody><tr><td>105/\$130</td><td>205/\$65</td><td>Surcharge - late filing fee or oath</td></tr><tr><td>127/\$50</td><td>227/\$25</td><td>Surcharge-late provisional filing fee or cover sheet</td></tr><tr><td>147/\$2,520</td><td>147/\$2,520</td><td>For filing a request for reexamination</td></tr><tr><td>115/\$110</td><td>215/\$55</td><td>Extension for response within first month[†]</td></tr><tr><td>116/\$380</td><td>216/\$190</td><td>Extension for response within second month[†]</td></tr><tr><td>117/\$870</td><td>217/\$435</td><td>Extension for response within third month[†]</td></tr><tr><td>118/\$1,360</td><td>218/\$680</td><td>Extension for response within fourth month[†]</td></tr><tr><td>128/\$1,850</td><td>228/\$925</td><td>Extension for response within fifth month[†]</td></tr><tr><td>119/\$300</td><td>219/\$150</td><td>Notice of Appeal</td></tr><tr><td></td><td>141/\$1,210</td><td>241/\$605</td><td>Petition to revive unintentionally abandoned application[†]</td></tr><tr><td></td><td>142/\$1,210</td><td>242/\$605</td><td>Utility Issue Fee (Or Reissue)</td></tr><tr><td></td><td>143/\$430</td><td>243/\$215</td><td>Design Issue Fee</td></tr><tr><td></td><td>122/\$130</td><td>122/\$130</td><td>Petitions to the Commissioner</td></tr><tr><td></td><td>123/\$50</td><td>123/\$50</td><td>Petitions related to provisional applications</td></tr><tr><td></td><td>126/\$240</td><td>126/\$240</td><td>Submission of Information Disclosure Statement</td></tr><tr><td></td><td>581/\$40</td><td>581/\$40</td><td>Recording each patent assignment per property (times number of properties)</td></tr><tr><td></td><td>146/\$760</td><td>246/\$380</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td></tr><tr><td></td><td>149/\$760</td><td>249/\$380</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td></tr></tbody></table>	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	105/\$130	205/\$65	Surcharge - late filing fee or oath	127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	147/\$2,520	147/\$2,520	For filing a request for reexamination	115/\$110	215/\$55	Extension for response within first month [†]	116/\$380	216/\$190	Extension for response within second month [†]	117/\$870	217/\$435	Extension for response within third month [†]	118/\$1,360	218/\$680	Extension for response within fourth month [†]	128/\$1,850	228/\$925	Extension for response within fifth month [†]	119/\$300	219/\$150	Notice of Appeal		141/\$1,210	241/\$605	Petition to revive unintentionally abandoned application [†]		142/\$1,210	242/\$605	Utility Issue Fee (Or Reissue)		143/\$430	243/\$215	Design Issue Fee		122/\$130	122/\$130	Petitions to the Commissioner		123/\$50	123/\$50	Petitions related to provisional applications		126/\$240	126/\$240	Submission of Information Disclosure Statement		581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)		146/\$760	246/\$380	Filing a submission after final rejection (37 CFR 1.129(a))		149/\$760	249/\$380	For each additional invention to be examined (37 CFR 1.129(b))
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FEE CALCULATION (fees effective 11/12/98)																							
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2. CLAIMS																			
<table border="1"><thead><tr><th>Large Entity Fee Code/Fee</th><th>Small Entity Fee Code/Fee</th><th>Fee Description</th></tr></thead><tbody><tr><td>103/\$78</td><td>203/\$9</td><td>Claims in excess of 20</td></tr><tr><td>102/\$78</td><td>202/\$39</td><td>Independent claims in excess of 2</td></tr><tr><td>104/\$260</td><td>204/\$130</td><td>Multiple dependent claim</td></tr><tr><td>109/\$78</td><td>209/\$39</td><td>Reissue independent claims over original patent</td></tr><tr><td>110/\$18</td><td>210/\$9</td><td>Reissue claims in excess of 20 and over original patent</td></tr></tbody></table>	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	103/\$78	203/\$9	Claims in excess of 20	102/\$78	202/\$39	Independent claims in excess of 2	104/\$260	204/\$130	Multiple dependent claim	109/\$78	209/\$39	Reissue independent claims over original patent	110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent	
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110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent																	
Other fee (specify):																			
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Subtotal (3) (\$).00																			

Submitted By		Complete (if applicable)	
Typed or Printed Name	Signature	Reg. Number	Date
Trinidad Arriola-Kern		44,012	4/8/99

Request for Extension of Time per 37 CFR 1.136(a)(3) made hereby



PATENT

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

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MAY 12 1999

Group 2700

APPLICANT(S): Alex E. Henderson and Walter E. Croft
SERIAL NO.: 09/240,919
FILING DATE: January 29, 1999
TITLE: System and Method for Filtering Data
EXAMINER: Not Yet Known
GROUP ART UNIT: 2731
ATTY. DKT. NO.: 3625

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JUN 04 1999

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Trinidad Arriola-Kern, Reg. No.: 44,012

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, DC. 20231

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INFORMATION DISCLOSURE STATEMENT

Under 37 CFR §§ 1.56 and 1.97-98

Group 2700

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner. A copy is enclosed herewith of each listed reference which may be material to the examination of this application and with respect to which there may be a duty to disclose.

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MAY 21 1999

Group 2700

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.



This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. 60/095,825, filed on August 7, 1998, and the references

cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).

The Information Disclosure Statement submitted herewith is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first official action on the merits, whichever event last occurred;
OR
- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either:
 - (1) a final action under 37 CFR §1.113; OR
 - (2) a notice of allowance under 37 CFR §1.311; AND
- ☐ attached hereto is the fee of \$240, as set forth under 37 CFR §1.17(p), for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement;
OR
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement.
- OR
- ☐ before the payment of the issue fee but after the mailing date of the first to occur of either:
 - [1] a final action under 37 CFR § 1.113; OR
 - [2] a notice of allowance under 37 CFR § 1.311; AND

in accordance with the requirements of 37 CFR § 1.97(d):

- ☐ Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND
- ☐ Applicant hereby respectfully petitions for the consideration of the accompanying Information Disclosure Statement under 37 CFR § 1.97(d)(2); AND
- ☐ Applicant submits the petition fee of \$130 as set forth in 37 CFR § 1.17(i).

☒ Applicant submits that no fee is required for the consideration of the accompanying Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,
ALEX E. HENDERSON AND
WALTER E. CROFT

Dated: _____

4/8/99

By: _____

Trinidad Arriola-Kern, Reg. No.: 44,012
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (650) 858-7666
Fax.: (650) 494-1417